



Robert Greene Sterne  
Edward J. Kessler  
Jorge A. Goldstein  
David K.S. Cornwell  
Robert W. Esmond  
Tracy-Gene G. Durkin  
Michele A. Cimbalà  
Michael B. Ray  
Robert E. Sokohl  
Eric K. Steffe  
Michael Q. Lee  
Steven R. Ludwig  
John M. Covert  
Linda E. Alcorn  
Robert C. Millonig  
Donald J. Featherstone  
Timothy J. Shea, Jr.  
Michael V. Messinger  
Judith U. Kim

Patrick E. Garrett  
Jeffrey T. Helvey  
Heidi L. Kraus  
Eldora L. Ellison  
Thomas C. Fiala  
Albert L. Ferro  
Donald R. Banowitz  
Peter A. Jackman  
Jeffrey S. Weaver  
Kendrick P. Patterson  
Vincent L. Capuano  
Brian J. Del Buono  
Virgil Lee Beaston  
Theodore A. Wood  
Elizabeth J. Haanes  
Joseph S. Ostroff  
Frank R. Cottingham  
Rae Lynn P. Guest  
Daniel A. Klein

Jason D. Eisenberg  
Michael D. Specht  
Andrea J. Kamage  
Tracy L. Muller  
Jon E. Wright  
LuAnne M. DeSantis  
Ann E. Summerfield  
Aric W. Ledford  
Helene C. Carlson  
Cynthia M. Bouchez  
Timothy A. Doyle  
Gaby L. Longworth  
Lori A. Gordon  
Nicole D. Dretar  
Ted J. Ebersole  
Laura A. Vogel  
Michael J. Mancuso  
Bryan S. Wade  
Aaron L. Schwartz

Shannon A. Carroll\*  
Wesley W. Jones\*  
Matthew E. Kelley\*  
Michelle K. Holoubek\*  
Marsha A. Rose\*

**Registered Patent Agents\***  
Karen R. Markowicz  
Nancy J. Leith  
Matthew J. Dowd  
Katrina Yujian Pei Quach  
Bryan L. Skelton  
Robert A. Schwartzman  
Teresa A. Colella  
Victoria S. Rutherford  
Simon J. Elliott  
Julie A. Heider  
Mita Mukherjee

Scott M. Woodhouse  
Christopher J. Walsh  
Liliana Di Nola-Baron  
Peter A. Socarras  
Jeffrey Mills

**Of Counsel**  
Kenneth C. Bass III  
Marvin C. Guthrie

\*Admitted only in Maryland  
\*Admitted only in Virginia  
•Practice Limited to  
Federal Agencies

October 11, 2005

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

**WRITER'S DIRECT NUMBER:**  
(202) 772-8831

**INTERNET ADDRESS:**  
JWEAVER@SKGF.COM

**Art Unit 2687**

**Attn: Mail Stop Amendment**

Re: U.S. Utility Patent Application  
Appl. No. 10/086,367; Filed: March 4, 2002  
For: **Method and System for Frequency Up-Conversion**  
Inventors: **SORRELLS et al.**  
Our Ref: 1744.0020007

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Third Supplemental Information Disclosure Statement;
2. A listing of the cited documents on Form PTO-1449 (2 pages);
3. Copies of the cited documents (AM23 and AR59); and
4. One (1) return postcard.


It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

Commissioner for Patents  
October 11, 2005  
Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

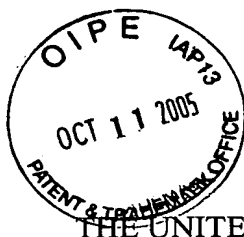
STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in black ink, appearing to read "Jeffrey S. Weaver", is written over a horizontal line.

Jeffrey S. Weaver  
Attorney for Applicants  
Registration No. 45,608

MQL/JSW:apg  
Enclosures

452647\_1.DOC



THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

SORRELLS *et al.*

Appl. No.: 10/086,367

Filed: March 4, 2002

For: **Method and System for Frequency  
Up-Conversion**

Confirmation No.: 3679

Art Unit: 2687

Examiner: Bhattacharya, Sam

Atty. Docket: 1744.0020007

**Third Supplemental Information Disclosure Statement**

***Mail Stop Amendment***

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. The numbering on this Third Supplemental Information Disclosure Statement is a continuation of the numbering in Applicants' Second Supplemental Information Disclosure Statement filed on July 26, 2005 in connection with the above-captioned application.

Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

Applicants provide the following comments regarding the documents:

Document AM23 was cited in an Office Action in related German Patent Application No. 19983659.0-35, filed October 20, 1999, entitled "Method and System for Frequency Up-Conversion," directed to related subject matter. Also cited in said Office Action was U.S. Patent No. 5,557,641, which as already been cited in the present application.

Document AR59 is an English-language abstract of document AM23.

Documents AA68-AC68 were cited in an Office Action in related U.S. Patent Application No. 10/318,207, filed December 13, 2002, entitled "Method And Apparatus For Reducing Re-Radiation Using Techniques Of Universal Frequency Translation Technology," directed to related subject matter.

Documents AD68-AG68 were cited in a Notice of Allowance in related U.S. Patent Application No. 09/855,851, filed May 16, 2001, entitled "Apparatus, System, and Method for Down-Converting and Up-Converting Electromagnetic Signals," directed to related subject matter.

Documents AH68, AI68, and AA69 were cited in an Office Action in related U.S. Patent Application No. 10/315,174, filed December 10, 2002, entitled "Reducing DC Offsets Using Spectral Spreading," directed to related subject matter. Also cited in said Office Action were U.S. Patent Nos. 5,999,561 and 6,686,879, which have already been cited in the present application.

Documents AB69-AD69 were cited in a Notice of Allowance in related U.S. Patent Application No. 10/359,636, filed February 7, 2003, entitled "Integrated Frequency

Translation and Selectivity," directed to related subject matter. Also cited in said Office Action were U.S. Patent Nos. 5,126,682; 5,926,054; 6,049,706; 6,421,534; and 6,560,301, which have already been cited in the present application.

This statement should not be construed as a representation that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below:

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☒ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed before the mailing of a first Office Action on the merits. No statement or fee is required.
- ☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
  - ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement

was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

☐ c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).

☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$\_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to

the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

- ☐ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.

- ☒ 6. A concise explanation of the relevance of the non-English language document AM23 appears below in accordance with 37 C.F.R. § 1.98(a)(3):

Document AM23 (DE 69221098T2) appears to describe a radio frequency multiplier comprising an automatic level control circuit. An English-language abstract of document AM23 is enclosed as document AR59. It is also noted that document AM23 is a counterpart of European Patent Publication EP 0 548 542 A1, which has already been cited in the present application.

- ☒ 7. Copies of documents AM23 and AR59 are enclosed. However, in accordance with 37 C.F.R. § 1.98(a)(2), copies of the U.S. patents cited on the attached Form PTO-1449 are not enclosed.
- ☐ 8. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).
- ☒ 9. It is expected that the examiner will review the prosecution and cited art in the parent application nos. 09/379,497, filed August 23, 1999 (now U.S. Pat. No. 6,353,735), and 09/176,154, filed October 21, 1998 (now U.S. Pat. No. 6,091,940), in accordance with MPEP 2001.06(b), and indicate in the next communication from the office that the art cited in the earlier prosecution histories has been reviewed in connection with the present application.

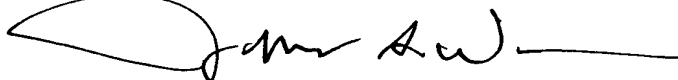
It is respectfully requested that the Examiner initial and return a copy of the enclosed Form PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.



The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

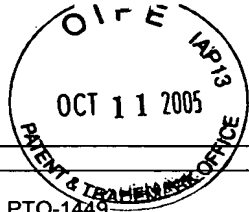
STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in black ink, appearing to read 'Jeffrey S. Weaver', is written over a horizontal line.

Jeffrey S. Weaver  
Attorney for Applicants  
Registration No. 45,608

Date: 10-11-05

1100 New York Avenue, N.W.  
Washington, D.C. 20005-3934  
(202) 371-2600  
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FORM PTO-1449

ATTY. DOCKET NO.  
1744.0020007APPLICATION NO.  
10/086,367**THIRD SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT**FIRST NAMED INVENTOR  
David F. SORRELLSFILING DATE  
March 4, 2002ART UNIT  
2687**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOC. REF.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA68	5,014,130	05/1991	Heister <i>et al.</i>			
	AB68	5,390,215	02/1995	Anita <i>et al.</i>			
	AC68	5,805,460	09/1998	Greene <i>et al.</i>			
	AD68	6,882,194 B2	04/2005	Belot <i>et al.</i>			
	AE68	6,892,062 B2	05/2005	Lee <i>et al.</i>			
	AF68	6,917,796 B2	07/2005	Setty <i>et al.</i>			
	AG68	6,920,311 B2	07/2005	Rofougaran <i>et al.</i>			
	AH68	5,062,122	10/1991	Pham <i>et al.</i>			
	AI68	6,182,011 B1	01/2001	Ward			

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL	DOC. REF.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AJ						Yes No
	AK						Yes No
	AL						Yes No
	AM23	DE 692 21 098 T2	01/1998	DE			No

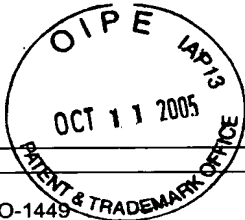
**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)**

EXAMINER INITIAL	DOC. REF.	CITATION
	AN	
	AO	
	AP	
	AQ	
	AR59	English Abstract for German Patent No. DE 692 21 098 T2, 1 page, data supplied from the espacenet.

EXAMINER

DATE CONSIDERED

**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



FORM PTO-1449

ATTY. DOCKET NO.  
1744.0020007APPLICATION NO.  
10/086,367**THIRD SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT**FIRST NAMED INVENTOR  
David F. SORRELLSFILING DATE  
March 4, 2002ART UNIT  
2687**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOC. REF.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA69	6,639,939 B1	10/2003	Naden <i>et al.</i>			
	AB69	5,787,125	07/1998	Mittel			
	AC69	5,878,088	03/1999	Knutson <i>et al.</i>			
	AD69	6,215,828	04/2001	Signell <i>et al.</i>			
	AE						
	AF						
	AG						
	AH						
	AI						

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL	DOC. REF.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AJ						Yes No
	AK						Yes No
	AL						Yes No
	AM						Yes No

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)**

EXAMINER INITIAL	DOC. REF.	CITATION
	AN	
	AO	
	AP	
	AQ	
	AR	

EXAMINER

DATE CONSIDERED

**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.